



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Tadashi Fujii et al. : Attn: BOX PCT
Serial No. NEW : Docket No. 2001_0116A
Filed February 5, 2001. :

GENE PARTICIPATING IN THE PRODUCTION
OF HOMOGLUTAMIC ACID AND ITS USE
[Corresponding to PCT/JP99/04197
Filed August 4, 1999]

COPY

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, DC 20231

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, applicants request consideration of
[X] the references listed on attached form PTO-1449 and/or [] the additional information identified
below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S.
patent application listed below is enclosed, except a copy is not provided for each reference
previously cited by or submitted to the Patent Office in prior parent application Serial No. :

1a. [X] This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled
application, or

before the mailing date of the first Office Action on the merits,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, or

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☐ the concise explanation contained in the specification of the present application at page,
 - d. ☐ the concise explanation set forth in the attached English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ A foreign patent office search report citing one or more of the references is enclosed along with the translation of the International Preliminary Examination Report.

Respectfully submitted,

Tadashi Fujii et al.

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February 5, 2001

Sheet 1 of 1

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

LIST OF REFERENCES CITED BY APPLICANT(S)
(Use several sheets if necessary)

Date Submitted to PTO: February 5, 2001

ATTY DCKET NO.
2001_0116A

SERIAL NO.
NEW

APPLICANT
Tadashi Fujii et al.

FILING DATE
February 5, 2001

GROUP

U.S. PATENT DOCUMENTS

| *EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|----------------------|----|--------------------|------|------|-------|----------|-------------------------------|
| | AA | | | | | | |

FOREIGN PATENT DOCUMENTS

| | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION YES NO | |
|--|----|--------------------|-------|---------|-------|----------|-----------------------|--|
| | AB | 96/31616 | 10/96 | wo | | | | |
| | AC | | | | | | | |

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | | | | | | | |
|--|----|---|--|--|--|--|--|--|
| | AD | T. Yagi et al., "L-Lysine: 2-Oxoglutarate 6-Aminotransferase", J. Biochem. (1980), Vol. 87, No. 5, pp. 1395-1402. | | | | | | |
| | AE | T. Yagi et al., "A Novel Purification Procedure of L-Lysine 6-Aminotransferase from Flavobacterium Lutescence", Biochem., Biophys. Acta. (1980), Vol. 614, No. 1, pp. 63-70. | | | | | | |
| | AF | J.R. Coque et al., "A Gene Encoding Lysine 6-Aminotransferase, Which Forms the β -Lactam Precursor α -Aminoadipic Acid, is Located in the Cluster of Cephamycin Biosynthetic Genes in Nocardia Lactamdurans", J. Bacteriol. (1991), Vol. 173, No. 19, pp. 6258-6264. | | | | | | |
| | AG | K. Madduri et al., "Cloning of Location of a Gene Governing Lysine ϵ -Aminotransferase, an Enzyme Initiating β -Lactum Biosynthesis in Streptomyces spp.", J. Bacteriol. (1991), Vol. 173, pp. 985-988. | | | | | | |
| | AH | J.F. Martin et al., "Genes for β -Lactum Antibiotic Biosynthesis", Antonie van Leeuwenhoek (1995), Vol. 181, No. 2, pp. 181-200. | | | | | | |
| | AI | A.L. Leitao et al., "Inducing Effect of Diamines on Transcription of the Cephamycin C Genes from the lat and pcbAB Promoters in Nocardia Lactamdurans" J. Bacteriol. (1999, April), Vol. 181, No. 8, pp. 2379-2384. | | | | | | |
| | AJ | J.P. Francisco et al., "The pcd Gene Encoding Piperideine-6-Carboxylate dehydrogenase Involved in Biosynthesis of α -Aminoadipic Acid is Located in the Cephamycin Cluster of Streptomyces Clavuligerus", J. Bacteriol. (1998, Sept.) Vol. 180, No. 17, pp. 4753-4756. | | | | | | |
| | AK | L.F. Juan et al., " Δ -1-Piperideine-6-carboxylate dehydrogenase, a new enzyme that forms α -aminoadipate in Streptomyces clavuligerus and other cephamycin c-producing actinomycetes", Biochem. J. (1997), Vol. 327, No. 1, pp. 59-64. | | | | | | |

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ATTY DOCKET # 2001_0116A

OUR REF: [2001_0116A/WMC/00202]

Due Date: February 5, 2001

Applicant Tadashi Fujii et al.

Serial No. NEW Filing Date February 5, 2001

Title GENE PARTICIPATING IN THE PRODUCTION OF HOMOGLUTAMIC ACID AND ITS USE

Receipt of the following papers is acknowledged:

1. Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 USC 371 (National stage application of PCT/JP99/04197)
2. Attachments: (A) An International Application including Specification, Claims and Abstract (34 pages) 14 pages of Sequence Listing, and 7 Sheets of Drawings (Figs. 1-9), (B) Executed Declaration, (C) Information Disclosure Statement, 1449 form, International Search Report, International Preliminary Examination Report, (D) Assignment recordal sheet, Assignment, (E) Cover Letter with 4 deposit receipts.
3. Check in the amount of \$900.00

Date February 5, 2001

Attorney WMC/dlr

THE COMMISSIONER IS AUTHORIZED
TO CHARGE ANY DEFICIENCY IN THE
FEE FOR THIS PAPER TO DEPOSIT
ACCOUNT NO. 23-0975.

Check No. 91844

